

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**IN RE PATENT APPLICATION OF:** Phillips et al      **OUR FILE NO:** 78384 (18-32 US DIV1)  
**SERIAL NUMBER:** 10/706,142      **GROUP:** 1791  
**FILED:** November 12, 2003      **EXAMINER:** M. Vargot  
**TITLE:** METHODS FOR FORMING SECURITY ARTICLES HAVING DIFFRACTIVE  
SURFACES AND COLOR SHIFTING BACKGROUNDS  
**CONFIRMATION NO:** 6069

**Information Disclosure Statement #6**

**EFILED**

Commissioner for Patents

Dear Sir:

Transmitted herewith is an Information Disclosure Statement (Form PTO-1449A) in the above-captioned application with references. In accordance with current USPTO procedures published 05 AUG 2003, in 1276 OG 55, copies of the U.S. patent documents cited in the form 1449A are not attached.

**Certification**

\_\_\_\_\_ This Information Disclosure Statement is submitted within three months of:

- (i) the filing date of the above-identified U.S. National Patent application, or
- (ii) the date of entry into the U.S. National Stage of the above-identified International Application, or
- (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies.

\_\_\_\_\_ This Information Disclosure Statement is submitted prior to the mailing date of the first Office Action on the merits since filing of an RCE in the above-identified application.

  X   \_\_\_\_\_ This Information Disclosure Statement is submitted after three months from

- (i) the filing date of the above-identified U.S. National Patent application, or
- (ii) entry into the U.S. National Stage of the above-identified International Application; or
- (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies; and after the mailing date of the first Office Action on the merits of the above-identified application, but prior to issuance of close of prosecution by a Final Action or Notice of Allowance sent in such application. The certification under 37 C.F.R. §1.97(e) is submitted separately or below, or the fee required under 37 C.F.R. §1.97(c) and § 1.17(p) is submitted herewith.

\_\_\_\_\_ This Information Disclosure Statement is submitted after the earlier of the mailing date of a final rejection or Notice of Allowance sent in this application but before payment of the Issue Fee. The certification required under 37 C.F.R. § 1.97(e) is submitted separately or below. A petition to the Commissioner and the appropriate fee pursuant to §1.17(i) (1) are submitted herewith.

\_\_\_\_\_ A certification under 37 C.F.R. §1.97 is submitted herewith separately from this paper.

\_\_\_\_\_ It is hereby certified that each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; or

No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this statement.

X\_\_\_\_\_ The Commissioner is hereby authorized to charge the fee pursuant to §1.17(i)(1) to Deposit Account No. 50-1465.

X\_\_\_\_\_ The Commissioner is hereby authorized to charge or credit any discrepancies in fee amounts to Deposit Account No. 50-1465.

Respectfully submitted,

/CHRISTOPHER F. REGAN/  
Christopher F. Regan  
Reg. No: 34,906

May 14, 2008

Customer No. 27975